

### REMARKS

Claims 1-38 are pending in the present application. Reconsideration of the claims is respectfully requested. An amendment was made to claim 1 to correct an antecedent basis problem. The term "the cookie" was amended to recite "the first cookie". This amendment is not in response to the art rejection made by the examiner and does not change the scope of this claim. Other claims, such as independent claim 21 and independent claim 37, reciting this element do so with the proper antecedent basis.

Applicants thank the examiner for the interview on January 14, 2004. In this interview, the examiner said that she would consider the points presented with respect to claim 1 in reviewing these remarks. The remarks explain in more detail applicants points with respect to the cited reference not teaching the storing step, the comparing step, and the order of steps as discussed in the telephone conference. Further, these remarks also include a discussion as to why the allowing step also is not shown in claim 1 as well as some remarks regarding the dependent claims.

#### **I. 35 U.S.C. § 102(e), Anticipation**

The examiner has rejected claims 1-38 under 35 U.S.C. § 102(e) as being anticipated by Grantges, Jr., United States Patent Number 6,324,648 B1 ("*Grantges*"). This rejection is respectfully traversed.

In rejecting the claims, the examiner stated the following:

In reference to claims 1, 10, 17, 21, 30, 37, and 38 Grantges discloses a system comprising a cache (column 5 lines 65-67); a cookie management process, wherein the cookie management process generates a cookie in response to receiving a request to access a resource within the data processing system from a requestor (column 4 lines 36-40 and column 10 lines 6-13); sends the cookie to the requestor (column 10 lines 23-25), stores the cookie and an identification of the requestor in the cache (column 11 lines 13-30); responsive to being presented a received cookie from a source, compares the cookie and the identification of the requestor to the received cookie and the source (column 10 lines 55-67); and allows access to the resource in response to a match between the cookie and the identification of the requestor with the received cookie and the source (column 11 lines 41-43).

Office Action, dated November 13, 2003, page 2.

A prior art reference anticipates the claimed invention under 35 U.S.C. § 102(e) only if every element of a claimed invention is identically shown in that single reference, arranged as they are in the claims. *In re Bond*, 910 F.2d 831, 832, 15 U.S.P.Q.2d 1566, 1567 (Fed. Cir. 1990). All limitations of the claimed invention must be considered when determining patentability. *In re Lowry*, 32 F.3d 1579, 1582, 32 U.S.P.Q.2d 1031, 1034 (Fed. Cir. 1994). Anticipation focuses on whether a claim reads on the product or process a prior art reference discloses, not on what the reference broadly teaches. *Kalman v. Kimberly-Clark Corp.*, 713 F.2d 760, 218 U.S.P.Q. 781 (Fed. Cir. 1983).

In this particular case, each and every feature of the presently claimed invention is not taught or shown in the same arrangement as in *Grantges* as believed by the examiner. Claim 1 is a representative claim of the independent claims and reads as follows:

1. A method in a data processing system for providing access to resources within the data processing system, the method comprising the data processing system implemented steps of:
  - receiving a request from a requestor to access a resource in the data processing system;
  - sending a first cookie to the requestor in response to the request, wherein the cookie is used to access the resource;
  - storing an identification of the requestor and the first cookie to form a stored identification and a stored cookie;
  - responsive to receiving a second cookie from a source, comparing an identification of the source and the second cookie with the stored identification and the stored cookie; and
  - responsive to a match between the identification of the source and the second cookie and the stored identification and the stored cookie, allowing access to the resource.

The storing, comparing, and allowing steps in claim 1 are not found in *Grantges* as believed by the examiner. For example, the examiner cites the following portion of *Grantges* for storing an identification of the requestor and the first cookie:

In step 106, authorization plug-in 42 associated with gateway proxy server 40 queries authorization server 46 for authentication of the user 18. Plug-in 42 provides the X.509 digital certificate particulars in a message to authorization server 46. In step 108, authorization plug-in 42 determines the applications for which access by the user 18 is authorized, all through messaging with authorization server 46. In step, 110, gateway proxy server 46

obtains an overall gateway user identification (ID) for the user. This gateway user ID may facilitate access to and usage of the plurality of applications 24<sub>1</sub>, 24<sub>2</sub>, . . . , 24<sub>3</sub>. For example, the overall gateway user ID may be passed to the application, which may use it to look up in its local database user profile information describing what functions the user is allowed to perform in the particular application. A gateway user ID cookie may be set to implement this information passing. Steps 106-110 may be performed sequentially, or as a composite request, or in any other way known in the art.

*Grantges*, column 11, lines 13-30. In this particular section, *Grantges* does not teach storing a cookie and an identification of a requestor. Instead, this portion of *Grantges* teaches authentication of a user and then obtaining a gateway user id. The gateway user id and other information may be placed into a gateway user id cookie. *Grantges*, however, does not teach or disclose that the cookie and the identification of the requestor are stored.

Next, the examiner points to the following portion of *Grantges* for comparing the stored cookie and the identification of the requestor to a received cookie and the source:

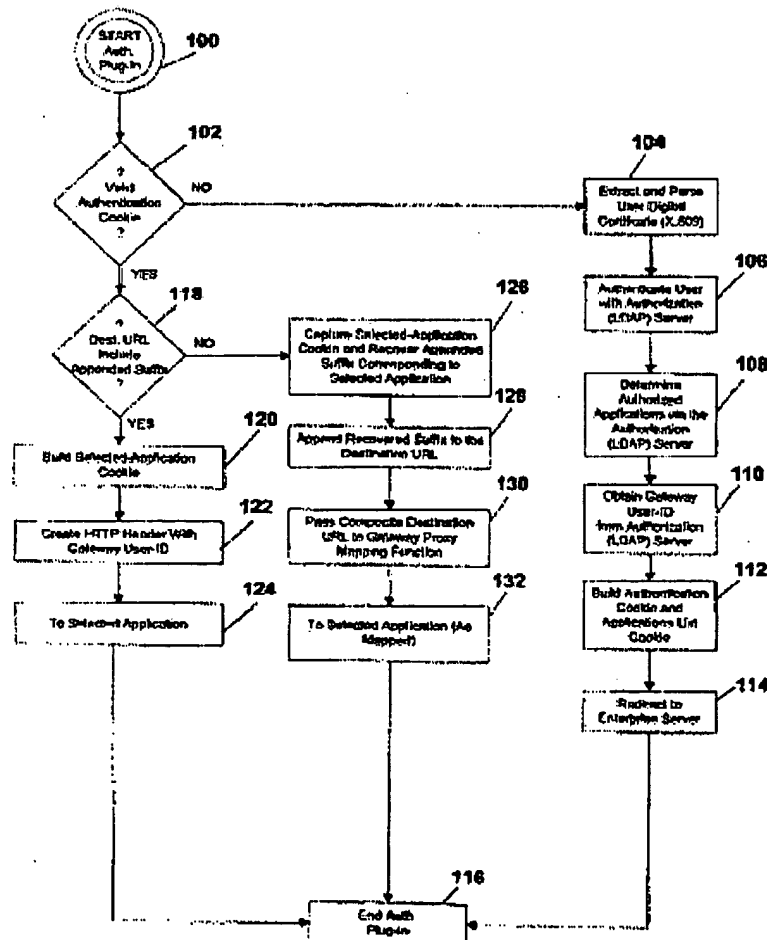
In step 100, authorization plug-in 42 begins execution.

In step 102, authorization plug-in 42 checks to determine whether the incoming message contains a valid authentication cookie 90. Validity requires that the user's digital certificate has in-fact authenticated the user of the client computer 22, and, that the timestamp meets predetermined timing criteria (i.e., it must not be too old). In particular, the presence of authentication cookie 90 itself is indicative of a successful authentication. Because of the non-persistent nature of cookie 90, cookie 90 does not come from a stored file, but only as a result of a successful authentication.

*Grantges*, column 10, line 55-column 11, line 1. This cited portion of *Grantges* does not show comparing a stored cookie and an identification of a requestor to a received cookie and a source for that received cookie. Instead, this portion of *Grantges* discloses steps used to authorize a user. Specifically, *Grantges* looks for a valid authentication cookie in an incoming message. This cookie is one that is generated only as a result of a successful authentication and includes a time stamp for timing criteria. In other words, if a cookie is present in the message, the cookie is a valid authentication cookie only if the cookie is not too old.

Thus, this cited portion of *Grantges* teaches looking for a valid cookie in a message. No comparing of a received cookie with a stored cookie occurs. Additionally, a comparison of the requestor stored with the stored cookie and the identification of the source of the received cookie also does not occur.

Additionally, even, assuming *arguendo*, if the storing step and the comparing step were to be found in *Grantges* as asserted by the examiner, these steps are not arranged in the same arrangement as in the presently claimed invention. The examiner points to the section of *Grantges* describing step 106 as teaching the storing step and points the portion of *Grantges* disclosing steps 100 and 102 as teaching the comparing step. Figure 5 of *Grantges* is as follows:



**Fig. 5**

As can be seen, step 106 occurs after steps 100 and 102 in figure 5 of *Grantges*, which is opposite to the teaching asserted by the examiner. The examiner's interpretation of this reference requires step 106 to occur prior to steps 100 and 102 in order to read on the presently claimed invention in claim 1. Thus, even assuming *arguendo* that those steps are even present in the cited portions, those steps are not in the same identical arrangement in *Grantges* as in claim 1.

Thus, *Grantges* does not teach the storing step and the comparing step as recited in claim 1 and further, the examiner's interpretation requires for the steps to be taken out of order from the claims.

Furthermore, *Grantges* also does not teach allowing access to the resource in response to a match between the stored cookie and the identification of the requestor with a received cookie and a source as believed by the examiner. The examiner points to the following portion of *Grantges* for this interpretation:

However, if, in step 102, the answer is "YES", then the user/client computer 22 has already been authenticated. The method then branches to step 118.

*Grantges*, column 11, lines 40-43. This portion of *Grantges* only teaches determining whether the user or client has been authenticated in step 102. Next, the process may proceed to step 118 which is another determination, rather than providing access to the resource.

With respect to the allowing step, no teaching is present for providing access to a resource in response to a match between the stored cookie and the identification of the requestor with a received cookie and a source. In figure 5, this step determines whether a valid authentication cookie is present. Other portions of *Grantges* describe this step as determining whether the message contains a valid authentication cookie. A time stamp in an authentication cookie is checked to determine whether the cookie is too old. Responsive to the determination in step 102, *Grantges* specifically teaches making another determination in step 118 if the cookie is validated. Access to the resource is not provided in response to the presence of a match as recited in the comparing step of claim 1 in which a determination is made as to whether a match between the stored cookie and the identification of the requestor with a received cookie and a source. Further, even if

step 102 could be interpreted as reading on the comparing step, access to a resource is not provided in response to a positive determination.

Further, in view of the discussion above, *Grantges* also does not show the step of sending the first cookie to the requestor. *Grantges* discloses a server side authentication for a client seeking access. This authentication of the client is performed and then a cookie is created that is pasted within the server to show or evidence the authentication. In contrast, the presently claimed response to a host request from a client by generating a cookie for use in accessing the resource and sending the cookie back to the client.

Thus, each and every feature of the presently claimed invention in claim 1 and the other independent claims are not taught or disclosed in *Grantges* in the same arrangement as in the presently claimed invention.

Since the dependent claims depend from the independent claims, the same distinctions between *Grantges* and the claimed invention in the independent claims for these dependent claims. Additionally, the dependent claims claim other additional combinations of features not suggested by the reference.

For example, claim 4 is a representative claim containing features also rejected by the examiner in claims 9, 15, 16, 19, 24, 29, 35, and 36. Claim 4 reads as follows:

4. The method of claim 1, wherein the resource is a file and the first cookie identifies disk location of the file.

In rejecting these claims, the examiner stated:

In reference to claims 4, 9, 15, 16, 19, 24, 29, 35, and 36 wherein the resource is a file and the first cookie identifies disk location of the file. The cookies disclosed by *Grantges* have a list of the applications available to the user (column 10 lines 15-17). Applications are stored in files therefore the resource that is requested is a file. The file location can be derived from the file name.

Office Action, dated November 13, 2003, page 3. The section of *Grantges* cited by the examiner reads as follows:

Applications list cookie 92 may include an identification of the particular applications for which client computer 22 is authorized.

*Grantges*, column 10, lines 15-17. As can be seen, *Grantges* does not teach using a cookie that identifies a disk location of a resource in the form of a file. Instead, *Grantges*

teaches identifying the application name. The fact that a file location may be derived from the file name is irrelevant, because this teaching is not found in *Grantges*. Therefore, *Grantges* does not anticipate these claims. Such a feature also is not suggested by this cited portion.

In another example, the examiner rejects claims 3 and 23 stating the following:

In reference to claims 3 and 23, wherein the system comprises: rejecting means, responsive to an absence of a match between the identification of the source and the second cookie and the stored identification and the stored cookie, for rejecting the second cookie (part 222 of Fig 8).

Office Action, dated November 13, 2003, page 3. Such a feature is not present in this particular element. Element 222 in figure 8 is as follows:

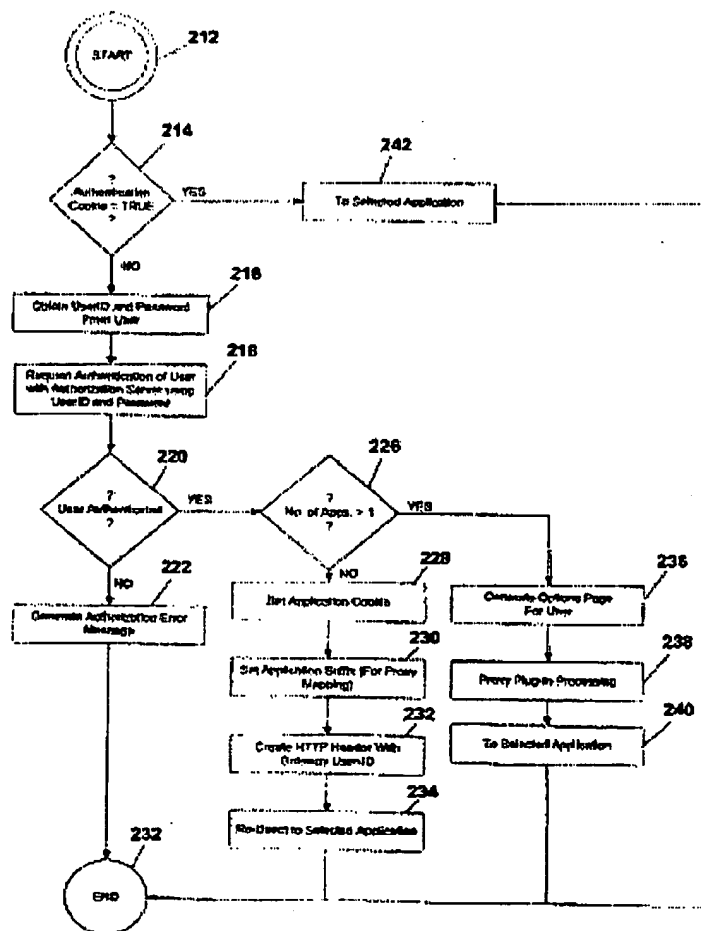


Fig. 8

Figure 8 does not show the generation of an authorization error message in step 222 as being in response to an absence of a match between the identification of the source and the second cookie and the stored identification and the stored cookie, for rejecting the second cookie as recited in these claims. Instead, this figure shows the message being generated in response to the user not being authenticated.

*Grantges* describes the authentication in step 220 as follows:

In step 220, web server 210 determines whether the user is authenticated. This step may simply involve evaluating the response returned from authorization server 46. If the answer is "NO", then the decision step 220 branches to step 222.

*Grantges*, column 15, lines 3-7. As can be seen, *Grantges* does not teach rejecting the cookie based on an absence of a match between the identification of the source and the second cookie and the stored identification and the stored cookie. This cited reference only teaches generating an error message based on a response returned from an authorization server without providing any specifics as to how the determination is made.

Therefore, each and every feature of claims 3 and 23 also are not shown in *Grantges*. Thus, these claims are not anticipated.

Consequently, it is respectfully urged that the rejection of claims 1-38 have been overcome. Therefore, the rejection of claims 1-38 under 35 U.S.C. § 102(e) has been overcome.

Furthermore, *Grantges* does not teach, suggest, or give any incentive to make the needed changes to reach the presently claimed invention. For example, *Grantges* teaches checking to see whether a valid authentication cookie is present in a message. No comparison of a stored cookie and an identification of a requestor is made with a received cookie and a source of the received cookie is taught or suggested by *Grantges*. At most, this cited reference teaches checking a time stamp in a cookie received in a message to determine whether a cookie is valid or invalid as taught in the following section of *Grantges*:

Then, the remaining requirement is that the timing criteria be satisfied. In one embodiment, a cookie 90 older than, preferably, 12 hours is considered "invalid". In another embodiment, a cookie 90 older than 4 hours is considered "invalid". The length of time may be selected based on expected maximum session duration by user 18.



*Grantges*, column 11, lines 1-7. As can be seen, the age of the cookie is used to determine whether the cookie is valid. No comparison of cookies and identification of a requestor or source is taught or suggested by *Grantges* when *Grantges* is considered as a whole.

Absent the examiner pointing out some teaching or incentive to implement *Grantges* in the manner believed to be present in *Grantges*, one of ordinary skill in the art would not be led to modify *Grantges* to reach the present invention when the reference is examined as a whole. Absent some teaching, suggestion, or incentive to modify *Grantges* in this manner, the presently claimed invention can be reached only through an improper use of hindsight using the applicants' disclosure as a template to make the necessary changes to reach the claimed invention.

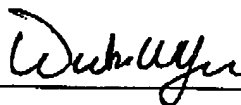
## II. Conclusion

It is respectfully urged that the subject application is patentable over *Grantges* and is now in condition for allowance.

The examiner is invited to call the undersigned at the below-listed telephone number if in the opinion of the examiner such a telephone conference would expedite or aid the prosecution and examination of this application.

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Respectfully submitted,



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